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In re: **Srihari Kumar et al.**
Case: **P3976** Application No.: **09/758.880** Filing date: **01/10/2001**
Art Unit: **2164** Examiner: **Unknown**
Subject: **Interactive Calculation and Presentation of Financial Data Results Through a Single Interface on a Data Packet Network**

Certificate of Transmission under 37 CFR 1.8

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Total Sheets Transmitted - 9

- 1. Preliminary Amendment - 6 sheets**
- 2. Amendment Transmittal Form - 1 sheet**
- 3. Duplicate Amendment Transmittal Form - 1 sheet**
- 4. Certificate of Transmission - 1 sheet**

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Method of Transmission: By Facsimile

CASE DOCKET NO. P3976

In reference to application of Srihari Kumar et al.

Serial No. 09/758,880

For Interactive Calculation and Presentation of Financial Data Results Through a Single Interface on a Data Packet Network

Sir:

Transmitted herewith is and an amendment in the above-identified application, under 37 C.F.R. 1.312.

- ☒ No additional fee is required.
☒ Applicant claims Small entity status under 37 CFR 1.27.
☐ The fee has been calculated as shown below.

**** CLAIMS AS AMENDED ****

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	Claims Remaining After Amendment		Highest No. Paid For Previously	Present Extra	Rate Small Entity	Rate Large Entity	Additional Fee
Total Claims	20	Minus	** 20	0	\$ 9	\$ 18	\$ 0.00
Indep Claims	2	Minus	*** 3	0	\$ 42	\$ 84	\$ 0.00
<input type="checkbox"/> First presentation of a multiple dependent claim					\$ 0	\$ 0	\$ 0.00
<input type="checkbox"/> Terminal Disclaimer Fees							\$ 0.00
Extension Fee	<input type="checkbox"/> 1st Month		<input type="checkbox"/> 2nd Month		<input type="checkbox"/> 3rd Month		\$ 0.00
Total additional for claims, time extensions and disclaimer fees							\$ 0.00

** If the "highest Number Previously Paid For" in this space is less than 20, write "20" in this space.

*** If the "highest Number Previously Paid For" in this space is less than 3, write "3" in this space.

**** Multiple dependencies, if any, included in the above calculation.

* If the entry in column 2 is less than the entry in column 4, write "0" in column 5.

☐ A check in the amount of 0.00 is attached.☐ Charge \$ 0.00 to deposit account 50-0534. (A duplicate of this sheet is enclosed)☒ Please charge any additional fees or credit overpayment to Deposit Account 50-0534. A duplicate of this sheet is enclosed.Respectfully Submitted, Donald R. Boys
Reg. No. 35074Donald R. Boys
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#5/A
CC
2/23/02**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****Art Unit 2164
Examiner Not Known**

In Re: Srihari Kumar et al.
Case: P3976
Serial No.: 09/758,880
Filed: January 10, 2001
Subject: Interactive Calculation and Presentation of Financial
Data Results Through a Single Interface on a Data
Packet Network

To: The Commissioner of Patents and Trademarks
Washington, D.C. 20231

Dear Sir;

Preliminary Amendment

In the claims:

✓
Please cancel claims 1-22 and enter new claims 23-42 for prosecution

23. A financial planning system responsive to a specific person or organization, comprising:

an access mechanism to one or more data repositories comprising financial data particular to the specific person or organization;

an input mechanism for the specific person or a representative of the organization to enter configuration information for a specific analysis of the financial data, and to select a form of analysis;

one or more coded procedures formulated to manipulate the financial data; and

an output mechanism to present results to the person or representative;